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Docket: 7211.01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

|                       |                             |                      |
|-----------------------|-----------------------------|----------------------|
| First Named Inventor: | Eric Henderson              |                      |
| Application No.:      | 09/929,865                  |                      |
| Filing Date:          | August 14, 2001             | Examiner: Unknown    |
| Title:                | Nanoscale Molecular Arrayer | Group Art Unit: 3745 |

**INFORMATION DISCLOSURE STATEMENT  
UNDER 37 CFR 1.97(b)**

Commissioner for Patents  
Washington, D.C. 20231

I hereby certify that this document is being sent via First Class U. S. mail addressed to: Commissioner for Patents, Washington, D.C. 20231 on this 27 day of November, 2001.

Eric Henderson

(Signature)

Dear Sir:

Pursuant to 37 CFR 1.97(b), the references listed on the attached Form PTO-1449 (1 sheet, submitted in duplicate) are brought to the attention of the Examiner for consideration in connection with the examination of the above-identified patent application. Copies of the identified references are enclosed as necessary. This IDS is being filed before the mailing of a first office action on the merits. In accordance with 37 CFR 1.97(b), no statement or fee is required.

Respectfully submitted,  
DORSEY & WHITNEY LLP

Date: 11/27/01

By: Scott A. Marks  
Scott A. Marks (Reg. No. 44,902)  
Suite 1500  
50 South Sixth Street  
Minneapolis, Minnesota 55402-1498  
Telephone: 612-752-7314

|   |                             |                                |
|---|-----------------------------|--------------------------------|
| Form PTO-1449 U.S. DEPARTMENT OF COMMERCE<br>(Rev. 2-32) PATENT AND TRADEMARK OFFICE          | ATTY DOCKET NO.<br>7211.01  | APPLICATION NO.<br>09/929,865  |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br>(use several sheets if necessary) | APPLICANT<br>Eric Henderson | FILING DATE<br>August 14, 2001 |
|   |                             | GROUP ART UNIT<br>3745         |

## U.S. PATENT DOCUMENTS

## FOREIGN PATENT DOCUMENTS

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

| Examiner<br>Initial | Document Description   |
|---------------------|--|
|                     | Hong, S. et al. "A Nanoplotter with Both Parallel and Serial Writing Capabilities", <u>Science</u> Vol. 288, No. 5472, June 9, 2000 6pgs.      |
|                     | Hong, Z. et al. "Multiple Ink Nanolithography", Toward a Multiple-Pen Nano-Plotter", <u>Science</u> Vol. 286, No. 5439, October 15, 1999 5pgs. |
|                     | Piner, R.D., et al. "Dip-Pen Nanolithography", <u>Science</u> Vol. 283, No. 5402, January 29, 1999 5pgs.                                       |

|                 |                        |
|-----------------|------------------------|
| <b>EXAMINER</b> | <b>DATE CONSIDERED</b> |
|-----------------|------------------------|

**EXAMINER:** Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
Group Art Unit 1634

In re

Patent Application of

Eric Henderson, et al.

Application No. 09/929,865

Confirmation No.: 8708

Filed: August 14, 2001

Examiner: Betty Forman

“NANOSCALE MOLECULAR ARRAYER”

FIRST SUPPLEMENTAL INFORMATION DISCLOSURE  
STATEMENT PURSUANT TO 37 CFR §1.97(c)

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

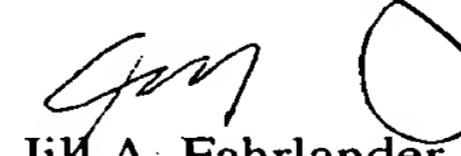
Sir:

The Examiner's attention is directed to the references which are listed on the attached Form PTO 1449 and copies of which are attached. This Statement is also being accompanied by a check in payment of the \$180.00 fee required under 37 CFR §1.17(p). Please charge or credit Deposit Account No. 50-0842 with any shortage or overpayment of the required fee.

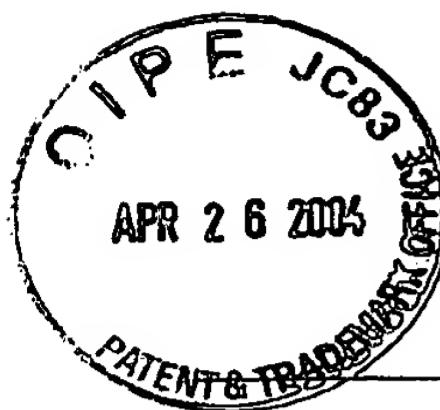
Citation of these references is respectfully requested.

No concession is made that these documents are prior art, and Applicant expressly reserves the right to antedate the documents as may be appropriate. A copy of each reference listed is attached.

Respectfully submitted,

  
Jill A. Fahrlander  
Reg. No. 42,518

File No. 016348-9005  
Michael Best & Friedrich LLP  
One South Pinckney Street  
P. O. Box 1806  
Madison, WI 53701-1806  
(608) 257-3501

FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE  
(Rev. 2-92) PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.: 016348/9005  
SERIAL NO.: 09/929,865  
APPLICANT: Henderson, et al.  
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CONFIRMATION NO. 8708  
GROUP: 1634INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT:  
(Use several sheets if necessary)

## U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | DOCUMENT NUMBER                       | DATE       | NAME                    | C<br>L<br>A<br>S<br>S | SUBCLASS | FILING DATE IF APPROPRIATE |
|------------------|---------------------------------------|------------|-------------------------|-----------------------|----------|----------------------------|
| AA               | USSN 09/974,757<br>US 2002/0042081    | 04/11/2002 | Henderson <i>et al.</i> |                       |          |                            |
| AB               | USSN 09/929,865<br>US 2002/0076927    | 06/20/2002 | Henderson <i>et al.</i> |                       |          |                            |
| AC               |                                       |            |                         |                       |          |                            |
| AD               | USSN 10/179,102<br>US 2003/0013111    | 01/16/2003 | Henderson <i>et al.</i> |                       |          |                            |
| AE               | USSN 10/160,372<br>US 2002/0172943 A1 | 11/21/2002 | Henderson <i>et al.</i> |                       |          |                            |
| AF               | USSN 10/128,727<br>US 2002/0123135    | 09/05/2002 | Henderson <i>et al.</i> |                       |          |                            |
| AG               |                                       |            |                         |                       |          |                            |
| AH               | US 2002/0179434 A1                    | 12/05/2002 | Dai <i>et al.</i>       |                       |          |                            |
| AI               | US 2002/0146714 A1                    | 10/10/2002 | Lieber <i>et al.</i>    |                       |          |                            |
| AJ               | US 2002/0122873 A1                    | 09/05/2002 | Mirkin <i>et al.</i>    |                       |          |                            |
| AK               | US 2002/0114987 A1                    | 08/22/2002 | Oscarsson <i>et al.</i> |                       |          |                            |
| AL               | US 2002/0063212 A1                    | 05/30/2002 | Mirkin <i>et al.</i>    |                       |          |                            |
| AM               | 4,728,591                             | 03/01/1988 | Clark <i>et al.</i>     |                       |          |                            |
| AN               | 5,106,729                             | 04/21/1992 | Lindsay <i>et al.</i>   |                       |          |                            |
| AO               | 5,138,174                             | 08/11/1992 | Tang                    |                       |          |                            |
| AP               | 5,143,854                             | 09/01/1992 | Pirrung <i>et al.</i>   |                       |          |                            |
| AQ               | 5,314,829                             | 05/24/1994 | Coles                   |                       |          |                            |
| AR               | 5,346,683                             | 09/13/1994 | Green <i>et al.</i>     |                       |          |                            |
| AS               | 5,363,697                             | 11/15/1994 | Nakagawa                |                       |          |                            |
| AT               | 5,372,930                             | 12/13/1994 | Colton <i>et al.</i>    |                       |          |                            |
| AU               | 5,384,261                             | 01/24/1995 | Winkler <i>et al.</i>   |                       |          |                            |
| AV               | 5,440,122                             | 08/08/1995 | Yasutake                |                       |          |                            |
| AW               | 5,443,791                             | 08/22/1995 | Cathcart <i>et al.</i>  |                       |          |                            |
| AX               | 5,445,934                             | 08/29/1995 | Fodor <i>et al.</i>     |                       |          |                            |
| AY               | 5,445,971                             | 08/29/1995 | Rohr, T.                |                       |          |                            |
| AZ               | 5,453,970                             | 09/26/1995 | Rust <i>et al.</i>      |                       |          |                            |
| BA               | 5,467,642                             | 06/09/1998 | Hosaka <i>et al.</i>    |                       |          |                            |
| BB               | 5,472,881                             | 12/05/1995 | Beebe <i>et al.</i>     |                       |          |                            |
| BC               | 5,482,601                             | 01/09/1996 | Ohshima, <i>et al.</i>  |                       |          |                            |
| BD               | 5,514,540                             | 05/07/1996 | Teoule <i>et al.</i>    |                       |          |                            |
| BE               | 5,514,550                             | 05/07/1996 | Findlay <i>et al.</i>   |                       |          |                            |
| BF               | 5,519,212                             | 05/21/1996 | Elings <i>et al.</i>    |                       |          |                            |
| BG               | 5,532,128                             | 07/02/1996 | Eggers <i>et al.</i>    |                       |          |                            |

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(Rev. 2-92) PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.: 016348/9005  
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GROUP: 1634INFORMATION DISCLOSURE  
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(Use several sheets if necessary)

|  |    |              |             |                              |  |  |  |
|--|----|--------------|-------------|------------------------------|--|--|--|
|  | BH | 5,571,639    | 11/05/1996  | Hubbell <i>et al.</i>        |  |  |  |
|  | BI | 5,601,982    | 02/11/1997  | Sargent <i>et al.</i>        |  |  |  |
|  | BJ | 5,604,097    | 02/18/1997  | Brenner                      |  |  |  |
|  | BK | 5,620,854    | 04/15/1997  | Holzrichter <i>et al.</i>    |  |  |  |
|  | BL | 5,666,190    | 09/09/1997  | Quate <i>et al.</i>          |  |  |  |
|  | BM | 5,670,322    | 09/23/1997  | Eggers <i>et al.</i>         |  |  |  |
|  | BN | 5,688,486    | 11/1/8/1997 | Watson <i>et al.</i>         |  |  |  |
|  | BO | 5,720,928    | 02/24/1998  | Schwartz                     |  |  |  |
|  | BP | 5,744,305    | 04/28/1998  | Fodor <i>et al.</i>          |  |  |  |
|  | BQ | 5,753,088    | 05/19/1998  | Olk, C.                      |  |  |  |
|  | BR | 5,760,300    | 06/02/1998  | Kajimura, H.                 |  |  |  |
|  | BS | 5,763,768    | 06/09/1998  | Henderson <i>et al.</i>      |  |  |  |
|  | BT | 5,789,167    | 08/04/1998  | Konrad                       |  |  |  |
|  | BU | 5,800,992    | 09/01/1998  | Fodor <i>et al.</i>          |  |  |  |
|  | BV | 5,837,832    | 11/17/1998  | Chee <i>et al.</i>           |  |  |  |
|  | BW | 5,840,862    | 11/24/1998  | Bensimon <i>et al.</i>       |  |  |  |
|  | BX | 5,846,724    | 12/08/1998  | Bensimon <i>et al.</i>       |  |  |  |
|  | BY | 5,851,769    | 12/22/1998  | Gray <i>et al.</i>           |  |  |  |
|  | BZ | 5,866,328    | 02/02/1999  | Bensimon <i>et al.</i>       |  |  |  |
|  | CA | 5,866,434    | 02/02/1999  | Massey <i>et al.</i>         |  |  |  |
|  | CB | 5,874,219    | 02/23/1999  | Rava <i>et al.</i>           |  |  |  |
|  | CC | 5,874,668    | 02/23/1999  | Xu <i>et al.</i>             |  |  |  |
|  | CD | 5,958,701    | 09/28/1999  | Green <i>et al.</i>          |  |  |  |
|  | CE | 5,965,133    | 10/12/1999  | Cantor <i>et al.</i>         |  |  |  |
|  | CF | 5,981,733    | 11/09/1999  | Gamble <i>et al.</i>         |  |  |  |
|  | CG | 5,985,356    | 11/16/1999  | Schultz <i>et al.</i>        |  |  |  |
|  | CH | 5,992,226    | 11/30/1999  | Green <i>et al.</i>          |  |  |  |
|  | CI | 5,993,627    | 11/30/1999  | Anderson <i>et al.</i>       |  |  |  |
|  | CJ | 6,004,617    | 12/21/1999  | Schultz <i>et al.</i>        |  |  |  |
|  | CK | 6,024,925    | 02/15/2000  | Little <i>et al.</i>         |  |  |  |
|  | CL | 6,033,911    | 03/07/2000  | Schultz <i>et al.</i>        |  |  |  |
|  | CM | 6,045,671    | 04/04/2000  | Wu <i>et al.</i>             |  |  |  |
|  | CN | 6,080,586    | 06/27/2000  | Baldeschwieler <i>et al.</i> |  |  |  |
|  | CO | 6,083,763    | 07/04/2000  | Balch                        |  |  |  |
|  | CP | 6,087,274    | 07/11/2000  | Tonucci <i>et al.</i>        |  |  |  |
|  | CQ | 6,110,426    | 08/29/2000  | Shalon <i>et al.</i>         |  |  |  |
|  | CR | 6,123,819    | 09/26/2000  | Peeters                      |  |  |  |
|  | CS | 6,143,574    | 11/07/2000  | Karlsson <i>et al.</i>       |  |  |  |
|  | CT | 6,146,899    | 11/14/2000  | Porter <i>et al.</i>         |  |  |  |
|  | CU | 6,159,742    | 12/12/2000  | Lieber <i>et al.</i>         |  |  |  |
|  | CV | 6,171,797 B1 | 01/09/2001  | Perbost                      |  |  |  |
|  | CW | 6,180,114    | 01/30/2001  | Yager                        |  |  |  |

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(Rev. 2-92) PATENT AND TRADEMARK OFFICE



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ATTY. DOCKET NO.: 016348/9005  
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APPLICANT: Henderson, et al.  
FILING DATE: August 14, 2001  
CONFIRMATION NO. 8708  
GROUP: 1634

|  |    |                              |            |                           |  |  |  |
|--|----|------------------------------|------------|---------------------------|--|--|--|
|  | CX | 6,200,737                    | 03/13/2001 | Walt <i>et al.</i>        |  |  |  |
|  | CY | 6,203,814 B1                 | 03/20/2001 | Fisher <i>et al.</i>      |  |  |  |
|  | CZ | 6,214,552                    | 04/10/2001 | Heroux, <i>et al.</i>     |  |  |  |
|  | DA | 6,218,122                    | 04/17/2001 | Friend <i>et al.</i>      |  |  |  |
|  | DB | 6,231,744 B1                 | 05/15/2001 | Ying <i>et al.</i>        |  |  |  |
|  | DC | 6,232,706 B1                 | 05/15/2001 | Dai <i>et al.</i>         |  |  |  |
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|  | DF | 6,270,946                    | 08/07/2001 | Miller                    |  |  |  |
|  | DG | 6,278,231 B1                 | 08/21/2001 | Iwasaki <i>et al.</i>     |  |  |  |
|  | DH | 6,284,497 B1                 | 09/04/2001 | Sabanayagam <i>et al.</i> |  |  |  |
|  | DI | 6,287,850 B1                 | 09/11/2001 | Besemer <i>et al.</i>     |  |  |  |
|  | DJ | 6,289,717                    | 09/18/2001 | Thundat <i>et al.</i>     |  |  |  |
|  | DK | 6,309,831 B1                 | 10/30/2001 | Goldberg <i>et al.</i>    |  |  |  |
|  | DL | 6,329,209 B1                 | 12/11/2001 | Wagner <i>et al.</i>      |  |  |  |
|  | DM | 6,331,396 B1                 | 12/18/2001 | Silverman                 |  |  |  |
|  | DN | 6,350,609                    | 02/26/2002 | Morozov <i>et al.</i>     |  |  |  |
|  | DO | 6,395,554                    | 05/28/2002 | Regan <i>et al.</i>       |  |  |  |
|  | DP | 6,406,921 B1                 | 06/18/2002 | Wagner <i>et al.</i>      |  |  |  |
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|  | DR | 6,420,105                    | 07/16/2002 | Landfield <i>et al.</i>   |  |  |  |
|  | DS | 6,436,647 B1                 | 08/20/2002 | Quate <i>et al.</i>       |  |  |  |
|  | DT | 6,518,168                    | 02/11/2003 | Clem <i>et al.</i>        |  |  |  |
|  | DU | 6,573,369<br>USSN 09/574,519 | 06/03/2003 | Henderson <i>et al.</i>   |  |  |  |

FOREIGN PATENT DOCUMENTS

| EXAMINER INITIAL |    | DOCUMENT NUMBER | DATE       | COUNTRY                                       | CLASS | SUBCLASS | TRANSLATION<br>YES      NO |
|------------------|----|-----------------|------------|---|-------|----------|----------------------------|
|                  | DV | JP 08094646     | 4/12/1996  | SHIMADZU CORP                                 |       |          | ABS                        |
|                  | DW | JP 07027771     | 1/31/1995  | HITACHI LTD.                                  |       |          | ABS                        |
|                  | DX | JP 06124680     | 1994       | JEOL LTD.                                     |       |          | ABS                        |
|                  | DY | WO 98/05920     | 2/12/1998  | WILLIAM MARSH<br>RICE UNIVERSITY<br>(COLBERT) |       |          |                            |
|                  | DZ | WO 92/15709     | 9/17/1992  | ABBOTT<br>LABORATORIE                         |       |          |                            |
|                  | EA | WO 96/31775     | 10/10/1996 | OSCARSSON                                     |       |          |                            |
|                  | EB | WO 97/06420     | 02/02/1997 | BENSIMON                                      |       |          |                            |
|                  | EC | WO 97/18326     | 05/22/1997 | PASTEUR<br>INSTITUTE                          |       |          |                            |

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GROUP: 1634

|  |    |              |            |                                  |  |  |  |
|--|----|--------------|------------|----------------------------------|--|--|--|
|  | ED | WO 98/18959  | 5/7/1998   | PASTEUR<br>INSTITUTE             |  |  |  |
|  | EE |              |            |                                  |  |  |  |
|  | EF | WO 99/31267  | 6/24/1999  | SEPRACOR INC.                    |  |  |  |
|  | EG | WO 00/04382  | 1/27/2000  | ZYOMYX, INC.                     |  |  |  |
|  | EH | WO 00/04389  | 1/27/2000  | ZYOMYX, INC.                     |  |  |  |
|  | EI | WO 00/04390  | 1/27/2000  | ZYOMYX, INC.                     |  |  |  |
|  | EJ | WO 00/36136  | 6/22/2000  | PALATIN<br>TECHNOLOGIES,<br>INC. |  |  |  |
|  | EK | WO 00/41213  | 7/13/2000  | NORTHWESTERN<br>UNIVERSITY       |  |  |  |
|  | EL | WO 00/46406  | 8/10/2000  | ALPHAGENE, INC.                  |  |  |  |
|  | EM | WO 01/60316  | 08/23/2001 | OSCARSSON, SVEN                  |  |  |  |
|  | EN | WO 01/918555 | 12/06/2001 | NORTHWESTERN<br>UNIVERSITY       |  |  |  |
|  | EO | WO 03/001633 | 01/03/2003 | NORTHWESTERN<br>UNIVERSITY       |  |  |  |
|  | EP | WO 03/036767 | 05/01/2003 | UNIVERSITY OF<br>ILLINOIS        |  |  |  |
|  | EQ | WO 03/038033 | 05/08/2003 | NORTHWESTERN<br>UNIVERSITY       |  |  |  |
|  | ER | WO 03/048314 | 06/12/2003 | MIRKIN                           |  |  |  |
|  | ES | WO 03/052514 | 06/26/2003 | NORTHWESTERN<br>UNIVERSITY       |  |  |  |

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 GROUP: 1634

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

|  |    |   |
|--|----|---|
|  | ET | "Microbeam Mass Spectrometry" <i>Chemical Science and Technology Laboratory, Surface and Microanalysis Science Division</i><br><a href="http://www.cstl.nist.gov/div837/Divisoin/expertise/ions/masspec1.htm">http://www.cstl.nist.gov/div837/Divisoin/expertise/ions/masspec1.htm</a> 7/18/2002. |
|  | EU | Abstracts of Papers Part I, 214 <sup>th</sup> "Abstract 027" <i>ACS National Meeting American Chemical Society</i> , September 1997, 2 pgs.   |
|  | EV | ALLISON, D., <i>et al.</i> , "Direct atomic force microscopy imaging of EcoRI endonuclease site specifically bound to plasmid DNA molecules" <i>PNAS USA</i> , 1996, 93:8826-8829.  |
|  | EW | ALLISON, D., <i>et al.</i> , "Mapping Individual Cosmid DNAs by Direct AFM Imaging" <i>Genomics</i> , 1997, 41:379-384.   |
|  | EX | ALVES, <i>et al.</i> , "Atomic scale imaging of alkanethiolate monolayers at gold surfaces with atomic force microscopy" <i>J. Am. Chem. Soc.</i> , February 1992, 114(4):1222-1227.  |
|  | EY | AMRO, <i>et al.</i> , "Patterning surfaces using tip-directed displacement and self-assembly" <i>Langmuir</i> , 2000, 16:3006-3009.   |
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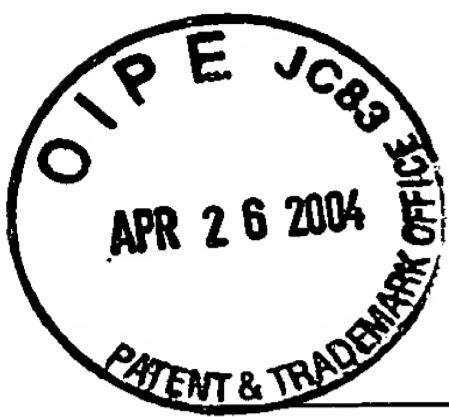
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**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

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